

Employee Post-Travel Disclosure of Travel Expenses

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Post-Travel Filing Instructions: Complete this form within 30 days of returning from travel. Submit all forms to the **Office of Public Records in 232 Hart Building.**

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed/paid for me. I also certify that I have attached:

- ☒ The **original** *Employee Pre-Travel Authorization* (Form RE-1), **AND**
☐ A **copy** of the *Private Sponsor Travel Certification Form* with all attachments (itinerary, invitee list, etc.)

Private Sponsor(s) (list all): Alliance to Save Energy

Travel date(s): February 21-23, 2018

Name of accompanying family member (if any): NA

Relationship to Traveler: ☐ Spouse ☐ Child

IF THE COST OF LODGING DID NOT INCREASE DUE TO THE ACCOMPANYING SPOUSE OR DEPENDENT CHILD, ONLY INCLUDE LODGING COSTS IN EMPLOYEE EXPENSES. (Attach additional pages if necessary.)

Expenses for Employee:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	\$524.14	\$346.00	\$62.00	NA
<input checked="" type="checkbox"/> Actual Amount				

Expenses for Accompanying Spouse or Dependent Child (if applicable):

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses (Amount & Description)
<input type="checkbox"/> Good Faith Estimate	NA	NA	NA	NA
<input type="checkbox"/> Actual Amount				

Provide a description of all meetings and events attended. See Senate Rule 35.2(c)(6). (Attach additional pages if necessary.):

see attached

3/16/18
(Date)

Sarah Mae Stevens
(Printed name of traveler)


(Signature of traveler)

TO BE COMPLETED BY SUPERVISING MEMBER/OFFICER:

I have made a determination that the expenses set out above in connections with travel described in the *Employee Pre-Travel Authorization* form, are necessary transportation, lodging, and related expenses as defined in Rule 35.

3/19/18
(Date)


(Signature of Supervising Senator/Officer)

PRIVATE SPONSOR TRAVEL CERTIFICATION FORM

This form must be completed by any private entity offering to provide travel or reimbursement for travel to Senate Members, officers, or employees (Senate Rule 35, clause 2). Each sponsor of a fact-finding trip must sign the completed form. The trip sponsor(s) must provide a copy of the completed form to each invited Senate traveler, who will then forward it to the Ethics Committee with any other required materials. The trip sponsor(s) should **NOT** submit the form directly to the Ethics Committee. Please consult the accompanying instructions for more detailed definitions and other key information.

The Senate Member, officer, or employee **MUST** also provide a copy of this form, along with the appropriate travel authorization and reimbursement form, to the Office of Public Records (OPR), Room 232 of the Hart Building, within thirty (30) days after the travel is completed.

-
1. Sponsor(s) of the trip (please list all sponsors): Alliance to Save Energy
 2. Description of the trip: A fact-finding trip to the greater Los Angeles, California area to learn about policies and best practices that are driving advances in energy efficiency and energy productivity.
 3. Dates of travel: February 21, 2018 (Evening Travel Day) - February 23, 2018
 4. Place of travel: Los Angeles, California
 5. Name and title of Senate invitees: Please see attached.
 6. I *certify* that the trip fits one of the following categories:
☐ (A) The sponsor(s) are not registered lobbyists or agents of a foreign principal **and** do not retain or employ registered lobbyists or agents of a foreign principal **and** no lobbyist or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

~~OR~~

☒ (B) The sponsor or sponsors are not registered lobbyists or agents of a foreign principal, but retain or employ one or more registered lobbyists or agents of a foreign principal and the trip meets the requirements of Senate Rule 35.2(a)(2)(A)(i) or (ii) (*see question 9*).
 7. ☒ I *certify* that the trip will not be financed in any part by a registered lobbyist or agent of a foreign principal.

~~AND~~

☒ I *certify* that the sponsor or sponsors will not accept funds or in-kind contributions earmarked directly or indirectly for the purpose of financing this specific trip from a registered lobbyist or agent of a foreign principal or from a private entity that retains or employs one or more registered lobbyists or agents of a foreign principal.
 8. I *certify* that:
☒ The trip will not in any part be planned, organized, requested, or arranged by a registered lobbyist or agent of a foreign principal except for *de minimis* lobbyist involvement.

~~AND~~

☒ The traveler will not be accompanied on the trip by a registered lobbyist or agent of a foreign principal except as provided for by Committee regulations relating to lobbyist accompaniment (*see question 9*).

9. **USE ONLY IF YOU CHECKED QUESTION 6(B)**

I *certify* that if the sponsor or sponsors retain or employ one or more registered lobbyists or agents of a foreign principal, one of the following scenarios applies:

☐ (A) The trip is for attendance or participation in a one-day event (exclusive of travel time and one overnight stay) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip.

– OR –

☐ (B) The trip is for attendance or participation in a one-day event (exclusive of travel time and two overnight stays) and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *on any segment* of the trip (*see questions 6 and 10*).

– OR –

☒ (C) The trip is being sponsored only by an organization or organizations designated under § 501(c)(3) of the Internal Revenue Code of 1986 and no registered lobbyists or agents of a foreign principal will accompany the Member, officer, or employee *at any point* throughout the trip.

10. **USE ONLY IF YOU CHECKED QUESTION 9(B)**

If the trip includes two overnight stays, please explain why the second night is practically required for Senate invitees to participate in the travel:

11. ☒ An itinerary for the trip is attached to this form. I *certify* that the attached itinerary is a detailed (hour-by-hour), complete, and final itinerary for the trip.

12. Briefly describe the role of each sponsor in organizing and conducting the trip:

The Alliance to Save Energy, as the sole sponsor of this trip, was responsible for planning the trip in its entirety and staff members of the Alliance will accompany all participants throughout the duration of the trip.

13. Briefly describe the stated mission of each sponsor and how the purpose of the trip relates to that mission:

The Alliance to Save Energy promotes strong energy efficiency policy, primarily at the national level, and works closely with Congress and the Administration to achieve this mission. The trip supports the mission by giving Congressional staff the opportunity to learn about energy efficiency in real-world applications.

14. Briefly describe each sponsor's prior history of sponsoring congressional trips:

The Alliance to Save Energy has sponsored several trips in recent years, including 4 in 2017 to Raleigh, NC, Denver, CO, New York City and Newark, NJ, and Chicago, IL. More information about earlier trips can be found in the attached addendum.

15. Briefly describe the educational activities performed by each sponsor (other than sponsoring congressional trips):

The Alliance to Save Energy hosts a variety of educational activities, including congressional briefings (Member/staff level and public), annual conferences, and initiative-specific events. We also hold briefings outside of Washington, DC to highlight the work of state and local governments, schools and businesses.

16. Total Expenses for Each Participant:

	Transportation Expenses	Lodging Expenses	Meal Expenses	Other Expenses
<input checked="" type="checkbox"/> Good Faith estimate <input type="checkbox"/> Actual Amounts	\$700	\$346.00	\$176	NA

17. State whether a) the trip involves an event that is arranged or organized *without regard* to congressional participation or b) the trip involves an event that is arranged or organized *specifically with regard* to congressional participation:

The trip involves an event that is arranged or organized specifically with regard to congressional participation.

18. Reason for selecting the location of the event or trip

Please see attached.

19. Name and location of hotel or other lodging facility:

Hilton Garden Inn Irvine, 2381 Morse Avenue, Irvine, CA 92614 (First Night)

The Sheraton Grand LA, 711 S Hope St., Los Angeles, CA 90017 (Second Night)

20. Reason(s) for selecting hotel or other lodging facility:

These two hotels were able to meet the GSA per diem limit and were located in areas that facilitated easy transportation to the site visits of the trip.

21. Describe how the daily expenses for lodging, meals, and other expenses provided to trip participants compares to the maximum per diem rates for official Federal Government travel:

The lodging (\$173 per night) and meals (\$64) provided to trip participants will meet the maximum per diem limits determined by GSA.

22. Describe the type and class of transportation being provided. Indicate whether coach, business-class or first class transportation will be provided. If first-class fare is being provided, please explain why first-class travel is necessary:

Attendees will fly to Los Angeles, CA, which will be coach.

To attend sites in the area, we will use a minibus or van.

23. ☒ I represent that the travel expenses that will be paid for or reimbursed to Senate invitees do not include expenditures for recreational activities, alcohol, or entertainment (other than entertainment provided to all attendees as an integral part of the event, as permissible under Senate Rule 35).

24. List any entertainment that will be provided to, paid for, or reimbursed to Senate invitees and explain why the entertainment is an integral part of the event:

The Alliance will not be providing, paying for, or reimbursing Senate invitees for any entertainment over the course of the trip.

25. I hereby *certify* that the information contained herein is true, complete and correct. (You must include the completed signature block below for each travel sponsor.):

Signature of Travel Sponsor: 

Name and Title: Kateri Callahan, President

Name of Organization: Alliance to Save Energy

Address: 1850 M Street, NW, Suite 610, Washington, DC 20036

Telephone Number: (202) 857-0666

Fax Number: (202) 334-9588

E-mail Address: kcallahan@ase.org

Please contact Reed Brown (rbrown@ase.org or 202-530-2241) if you have any questions regarding the trip.

Wednesday, February 21, 2018	
6:49 PM – 9:57 PM (Pacific)	Depart Washington Dulles International Airport for Los Angeles International Airport American Airlines Flight #1362* Transportation to Hotel <i>*Tickets not yet purchased</i>
Thursday, February 22, 2018	
7:00 AM	Wakeup Call and Breakfast at Hilton Garden Inn Irvine 2381 Morse Avenue, Irvine, CA 92614
7:30 AM	Depart Hotel for Visit with Meritage Homes
8:00 AM – 10:00 AM	Arrive at Meritage Homes Site Pomona Avenue, Costa Mesa, CA 92627 <i>CR Herro, Vice President, Environmental Affairs</i> This visit will feature a presentation and site tour to learn about how energy efficiency measures can be integrated into single-family homes. Meritage Homes is a real-estate development company that constructs single-family detached homes in states throughout the country. It separates itself from its competitors by placing a significant emphasis on energy efficiency and offers clients many energy efficiency options to allow them to customize the home to fit their specific needs. Meritage Homes was recognized as an ENERGY STAR Partner of the Year in Sustained Excellence for 2017 and has earned this distinction every year since 2013.
10:00 AM	Depart Meritage Homes Site <i>Shuttle Bus</i>
11:00 PM- 1:00 PM	Visit to Lutron's Experience Center Lunch Presentation 2458 Dupont Dr., Irvine, CA 92612 <i>Matthew Murray, Territory Manager</i> The Experience Center is designed to showcase Lutron's lighting sensor and control technology and is often used for professional training courses, which makes it a great place to learn about the potential for energy efficiency gains by employing this technology. Lutron is a lighting control and sensor company that is best known for mass marketing the classic lighting dimmer that can be seen in many homes and businesses. It is also the only company that integrates lighting controls and motorized window shades with daylighting systems to control both electric light and natural sunlight. These technologies can lead to large energy efficiency gains that, if integrated correctly, can significantly reduce lighting-associated energy costs. The Lutron Experience Center allows visitors to see these applications in a real-world setting.
1:00 PM	Depart Lutron for Port of Long Beach <i>Shuttle Bus</i>
2:00 PM – 4:00 PM	Visit and Tour of Port of Long Beach Port of Long Beach, Long Beach, CA 90802 <i>Phillip Abad, Field Sales Engineer</i> The visit to the Port of Long Beach will include a presentation about the facility and a tour to visit specific energy efficiency-related portions of the port. We will also learn more about how the Port is working with its tenants to increase energy efficiency throughout the entire port. The Port of Long Beach is one of the world's busiest seaports with significant economic benefits to the region and the entire country. Due to its size, the Port of Long Beach has a

	high energy demand and is working to address it through rebate programs to incentivize tenants to become more energy-efficient, investing in renewable energy technologies and energy storage, and incorporating advanced energy management technologies to manage energy demand.
4:00 PM	Depart Port of Long Beach <i>Shuttle bus</i>
5:00 PM – 6:00 PM	Dinner <i>Location TBD</i>
6:00 PM	Depart Dinner <i>Shuttle Bus</i>
6:30 PM – 8:00 PM	Visit to Microsoft/LA Live Theater with SloanLED 800 W Olympic Blvd, Los Angeles, CA 90015 <i>Angela Berard, Marketing and Communications Manager</i> The visit to Microsoft/LA Live Theater will be focused on the lighting technology that is featured within the building and also on the exterior of the building. The Theater worked with SloanLED to complete the project and we will learn more about the project and its benefits from a SloanLED representative. SloanLED is a producer of high-quality lighting products, particularly in LED lighting technology, with applications for exterior signage, canopies, shelves and refrigerated displays, among others. Not only do these products offer improved performance, they also offer significant energy savings potential. *No entertainment will be provided as part of this visit.
8:00 PM	Depart Microsoft/LA Live Theater for Hotel
Friday, February 23, 2018	
7:00 AM	Wakeup Call at The Sheraton Grand LA 711 S Hope St, Los Angeles, CA 90017
7:30 AM	Depart Hotel for La Kretz Innovation Campus for Policy Perspectives Event
8:00 AM – 9:30 AM	Arrive at La Kretz Innovation Campus for Tour 525 S Hewitt St, Los Angeles, CA 90013 <i>Michael Swords, VP Government Relations</i> The visit to the La Kretz Innovation Campus will feature a presentation and tour to learn about how the campus came to be, its current projects and how those projects will drive advances in energy efficiency and other clean energy technologies. The La Kretz Innovation Campus was founded in 2011 to serve as the Los Angeles area's cleantech industry hub – a place where entrepreneurs, engineers, scientists and policymakers can collaborate, promote and support the development of clean technologies and LA's green economy. It also features an Energy Efficiency and Technology laboratory in connection with the Los Angeles Department of Water and Power.
9:30 AM – 12:00 PM	Policy Perspectives Event at La Kretz Innovation Campus 525 S Hewitt St, Los Angeles, CA 90013 <i>Michael Swords, VP Government Relations</i> Policy Perspectives is an event series that the Alliance hosts throughout the year. Policy Perspectives speaker series provides exclusive opportunities for Alliance Associate & Board members to connect with key energy efficiency policymakers in an intimate and informal setting. Highly regarded by both our members and former event speakers, these gatherings offer candid discussions about the future of energy efficiency policy and the potential impact on key industry stakeholders, businesses and NGOs. This Policy Perspectives event will focus

	on California's leadership on energy efficiency issues and how it plans to continue to make advances into the future.
12:00 PM	Depart La Kretz Innovation Campus
12:45 PM – 2:45 PM	<p>Arrive at Southern California Edison's Advanced Technology Lab for Tour and Presentation Westminster Labs Facility – 14799 Chestnut Street, Westminster, CA 92683</p> <p><i>John Minnicucci, Senior Manager for Regulatory Affairs, SCE</i></p> <p>The visit to SCE's Advanced Technology lab will include a tour and presentation of the work being conducted there. As SCE works to implement a smarter, safer and more reliable energy grid it needs a place to test the plethora of new technologies and procedures that will help make this a reality – enter the Advanced Technology Lab. The Westminster location houses several important research labs, such as the distributed energy resources lab, the garage of the future lab, grid edge solutions lab, and many more.</p>
2:45 PM	Depart the Advanced Technology Lab for Airport
3:15 PM	Arrive at Los Angeles International Airport
4:40 PM – 12:30 AM (Eastern)	<p>Depart Los Angeles International Airport for Washington Dulles International Airport</p> <p>United Airlines Flight #783*</p> <p>Conclusion of Trip</p> <p><i>*Tickets not yet purchased</i></p>

Addendum to Senate Private Sponsor Travel Certification Form

5.

The following staff members have been invited to participate on this trip.

- Adrian Deveny, Director of Energy and Environmental Policy, Office of Senator Jeff Merkley
- Ariel Marshall, Senior Policy Adviser, Office of Senator Jeanne Shaheen
- Mae Stevens, Environmental Policy Adviser, Office of Senator Ben Cardin
- Mallory Hinks, AAAS Fellow, Office of Senator Chris Coons

13.

The Alliance to Save Energy promotes energy efficiency worldwide to achieve a healthier economy, a cleaner environment and greater energy security. To achieve this mission, the Alliance:

- Leads worldwide energy efficiency initiatives in policy advocacy, research, education, technology deployment and communications that impact all sectors of the economy.
- Provides vision and activism which includes active and engaged members of Congress, leaders from business, the public interest sector and academia.
- Initiates and participates in public-private partnerships, collaborate efforts and strategic alliances to optimize resources and expand its sphere of influence.
- Executes its mission through a team of recognized energy efficiency experts and professionals.

The purpose of this trip is to learn about policies and best practices that are helping to drive advances in energy productivity across the country. Our hope is that through visits to sites identified on the itinerary and through meetings with local and state officials that the Congressional staff members will be able to learn about state and business activities and, in turn, use that new knowledge to develop, refine and advance policies at the federal level.

14.

The Alliance has previously sponsored several Congressional field trips.

- Field trip to Raleigh and Durham, NC that took place on October 13, 2017
- Field trip to Denver, CO that took place on August 21-22, 2017
- Field trip to Chicago, IL that took place on July 21, 2017.
- Field trip to Newark, New Jersey and New York, New York that took place from February 21-23, 2017
- Field trip to Boston, Massachusetts that took place from August 10-12, 2016.
- Field trip to San Francisco Bay Area that took place from August 12-14, 2015.
- Field trip to Hartford, CT on August 22-23, 2012 (including travel days).
- Field trip to Denver, CO on January 11-13, 2012 (including travel days).
- Field trip to Philadelphia, PA on August 26, 2011.
- Field trip from August 28, 2005 – September 2, 2005 to:

- Berlin, Germany
 - Stuttgart, Germany
 - Brussels, Belgium
 - Terneuzen, Netherlands
 - Rotterdam, Netherlands
 - Amsterdam, Netherlands
- Field trip to New York and California that took place from November 30, 2004 – December 3, 2004.

15.

The Alliance hosts a range of educational activities.

- Congressional Briefings
 - We host Congressional briefings throughout the year, which typically focus on a particular aspect related to energy efficiency.
 - December 7, 2017: The Business Case for Tax Incentives Promoting Energy Efficiency
 - November 16, 2017: Beyond Batteries: Grid-Interactive Efficient Buildings
 - October 26, 2017: Developing the 21st Century Energy Efficiency Workforce
 - March 16, 2017: Beyond Roads & Bridges: The Role of Energy Efficiency Policy in Infrastructure Investments
- Energy Efficiency Global Forum
 - An annual event convened in Washington, DC that brings together executives and policymakers from around the world and across sectors to discuss energy efficiency. In 2017, this exclusive forum explored how utilities, regulators, legislators and companies are incorporating cost-effective energy efficiency measures into their business to help meet increasing demand. The next EE Global Forum is scheduled for May of 2018 in Copenhagen, Denmark.
- Accelerate Energy Productivity 2030
 - A partnership between the U.S. Department of Energy, Alliance to Save Energy and Council on Competitiveness to catalyze action in the public and private sectors to help achieve the goal of doubling our nation's energy productivity.
 - As part of this initiative, three webinars were held in April to provide an in-depth look at several unique aspects of energy efficiency:
 - April 13, 2016: Building Technologies and Finance
 - April 20, 2016: Smart Grid and Smart Manufacturing
 - April 27, 2016: Transportation and Water
- Energy 2030 Events
 - Energy 2030 *On the Road* – These are education, outreach and action campaigns aimed at urging communities through the nation to adopt the goal of doubling U.S. energy productivity. They are held around the country and in 2015 included stops in Seattle, WA, Raleigh, NC and Minneapolis, MN. They follow the same format of other events where panelists discuss a specific theme of energy

efficiency and are widely attended by members of local governments, academia, local and state government and the surrounding community.

- Policy Perspectives Breakfasts
 - Breakfast sessions where we invite a representative from a Federal agency or Congressional office (Senator/Congressman) to come and speak about priorities or updates regarding energy efficiency for the respective agency or office. There are plans for several of these events in 2018, including in Washington, DC and around the country.

18.

There are several reasons why we have chosen Los Angeles, California as the destination for this trip.

- The American Council for an Energy-Efficiency Economy (ACEEE) produces the annual State Energy Efficiency Scorecard, which ranks states based on energy efficiency policies and practices. California has consistently ranked in the top 2 - it is #2 in 2017 after being tied for #1 in 2016 – and has always been at the forefront of progressive energy efficiency policy. California has a long history of adopting energy efficiency policy and was the first state to do so in many instances, including building energy codes and appliance/equipment standards. In addition, the state requires or incentivizes energy efficiency throughout many sectors like schools, commercial buildings, state-owned buildings and residential buildings. California also has enabled property assessed clean energy (PACE) financing to help encourage home and business owners to invest in energy efficiency. In addition to the state ranking, ACEEE also ranks a selection of major cities on the same criteria and Los Angeles, CA was ranked #4 in 2017. Therefore, Los Angeles, CA is an excellent option for such a trip because we can incorporate strong local level actions along with the broader state-level actions.
- The Alliance to Save Energy is also hosting a public briefing at the La Kretz Innovation Campus on Friday, February 23, 2018. The title of the event is entitled, “California: Leading the Future.” A full agenda is included below (as it currently stands).
- The Los Angeles area boasts a wide range of field examples and opportunities to learn about energy efficiency, including:
 - Meritage Home Builders
 - Meritage Homes is a real-estate development company that constructs single-family detached homes in states throughout the country. It separates itself from its competitors by placing a significant emphasis on energy efficiency and offers clients many energy efficiency options to allow them to customize the home to fit their specific needs. Meritage Homes was recognized as an ENERGY STAR Partner of the Year in Sustained Excellence for 2017 and has earned this distinction every year since 2013.
 - Lutron Experience Center
 - Lutron is a lighting control and sensor company that is best known for mass marketing the classic lighting dimmer that can be seen in many homes and businesses. It is also the only company that integrates lighting controls and motorized window shades with daylighting systems to control both electric light and natural sunlight. These technologies can lead to

large energy efficiency gains that, if integrated correctly, can significantly reduce lighting-associated energy costs. The Lutron Experience Center allows visitors to see these applications in a real-world setting.

- Port of Long Beach
 - The Port of Long Beach is one of the world's busiest seaports with significant economic benefits to the region and the entire country. Due to its size, the Port of Long Beach has a high energy demand and is working to address it through rebate programs to incentivize tenants to become more energy-efficient, investing in renewable energy technologies and energy storage, and incorporating advanced energy management technologies to manage energy demand.
- SloanLED – Microsoft/LA Live Theater
 - SloanLED is a producer of high-quality lighting products, particularly in LED lighting technology, with applications for exterior signage, canopies, shelves and refrigerated displays, among others. Not only do these products offer improved performance, they also offer significant energy savings potential. One of SloanLED's partners is the Microsoft/LA Live Theater that we intend to visit to see this technology at a client site.
- La Kretz Innovation Campus
 - The La Kretz Innovation Campus was founded in 2011 to serve as the Los Angeles area's cleantech industry hub – a place where entrepreneurs, engineers, scientists and policymakers can collaborate, promote and support the development of clean technologies and LA's green economy. It also features an Energy Efficiency and Technology laboratory in connection with the Los Angeles Department of Water and Power.
- Southern California Edison
 - Southern California Edison (SCE) is one of the nation's largest electric utilities and, in line with the culture of California, is heavily invested in energy efficiency and clean energy. SCE is dedicated to being as efficient as possible within its own operations and offers many rebates on a variety of products to help home and business owners be more efficient too. Due to the statewide energy targets for energy efficiency and renewable energy, SCE is taking an innovative approach to incorporating new energy technologies into the grid to ensure affordability, reliability and resiliency.

Policy Perspectives
California: Leading the Future
Friday, February 23 | 9:30 am – 12:00 pm
La Kretz Innovation Campus
Los Angeles, CA

9:00 am – 9:30 am **Registration & Breakfast**

9:30 am – 9:20 am **Welcome Remarks**

9:50 am – 10:50 am **Keys to California's Energy Leadership**

Moderator: Kateri Callahan, Alliance to Save Energy
Speakers: Michelle Gross, The Dow Chemical Company
 Pete Todd, SloanLED
 Bryan Early, California Energy Commission
 Pekka Hakkarainen, Lutron
 Christos Chrysiliou, LAUSD

10:50 am – 11:50 am **Driving the Future: Innovations in Mobility**

Moderator: Kateri Callahan, Alliance to Save Energy
Speakers: Carsten Baumann, Schneider Electric
 Marvin Moon, LADWP
 Matt Petersen, Los Angeles Cleantech Incubator

11:50 am – 12:00 pm **Closing Remarks**

United States Senate

SELECT COMMITTEE ON ETHICS

January 26, 2018

Sarah Mae Stevens
Office of Senator Benjamin L. Cardin
United States Senate
Washington, DC 20510

Dear Ms. Stevens:

This responds to your recent correspondence concerning an invitation you received to travel on a fact finding trip to Los Angeles, California, on February 21-23, 2018, sponsored by the Alliance to Save Energy (ASE). ASE certified to the Select Committee on Ethics (the Committee) that it will pay the *necessary expenses*¹ related to the travel and that it is neither a lobbyist, nor lobbying firm, nor agent of a foreign principal, and it is not otherwise acting as a representative or agent of a foreign government. However, ASE has certified that it is an organization designated under § 501(c)(3) of the Internal Revenue Code² that retains or employs a registered lobbyist and that no registered lobbyist will accompany you at *any point throughout your trip*.³

Based on information and materials available to the Committee, and assuming the **actual** travel and travel-related expenses conform to the information and materials you provided, it appears that the proposed payment or reimbursement of necessary expenses for this trip **may be accepted** under relevant Senate Rules and the Committee's *Regulations and Guidelines for Privately-Sponsored Travel*, so long as at the time of the payment or reimbursement, ASE is neither a registered lobbyist nor lobbying firm under the Lobbying Disclosure Act of 1995, nor an agent of a foreign principal under the Foreign Agents Registration Act (and is not otherwise acting as a representative or agent of a foreign government), and provided the travel and all required documents are disclosed to the Secretary of the Senate in accordance with the provisions of Senate Rules 34 and 35.

Under Senate Rule 35, Senate staff must receive advance authorization signed by the Member or officer under whose direct supervision the individual works in order to accept payment or reimbursement for necessary expenses related to fact-finding travel. Further, such authorization and expenses must be disclosed to the Secretary of the Senate by filing the

¹ The term "necessary expenses" has a specific definition. See *Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 8.

² 26 U.S.C. § 501(c)(3).

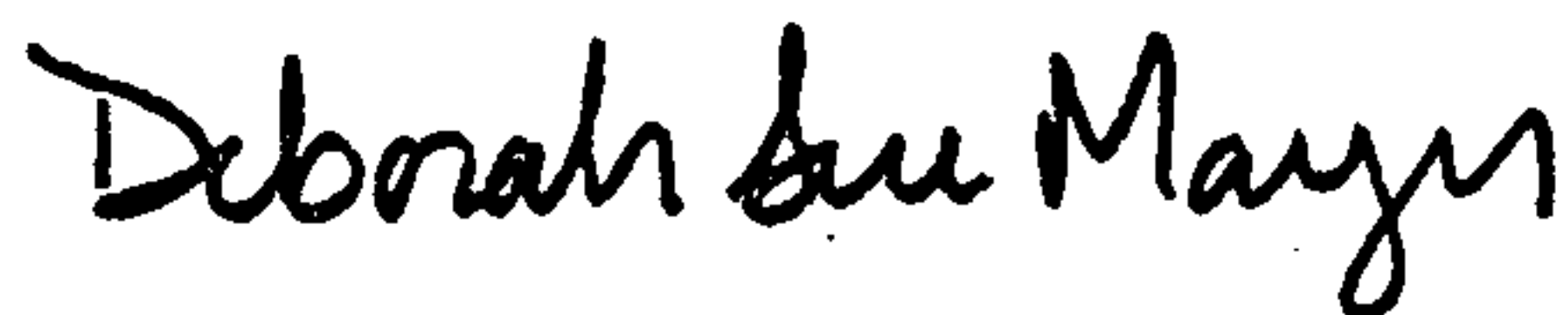
³ The term "any point throughout your trip" has a specific definition. See *Select Committee on Ethics' Regulations and Guidelines for Privately-Sponsored Travel – Glossary of Terms* at 2.

completed *Employee Pre-Travel Authorization* and the *Employee Post-Travel Disclosure of Travel Expenses* (Form RE-1 and Form RE-2), along with a copy of the *Private Sponsor Travel Certification Form*, and all relevant attachments (e.g., the private sponsor's invitation and itinerary) **within 30 days of the conclusion of Privately-Sponsored Travel.**

Finally, Senate Rule 34 requires a reporting individual,⁴ on his or her Financial Disclosure Report, to make an annual disclosure of the receipt of payments or reimbursements under Senate Rule 35 from a private sponsor for officially-related travel expenses where, in the aggregate, travel expenses exceed \$390 from that sponsor during a calendar year. However, if a Member, officer, or employee properly reports the receipt of necessary expenses for such travel to the Secretary of the Senate within 30 days of the travel, as discussed above, the travel expenses need not be disclosed a second time on their Financial Disclosure Report.

I hope you find this information helpful. If you have any additional questions, please do not hesitate to contact the Committee.

Sincerely,



Deborah Sue Mayer
Chief Counsel and Staff Director

Enclosure: Travel Checklist

⁴ A reporting individual is someone whose salary equals or exceeds 120% of the basic rate of pay for GS-15 (\$126,148 for CY 2018) or is a political fund designee and is required to file Financial Disclosure Reports.